



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

10/849,402

05/19/2004

Christopher Brian Voice

10500.04.0427

6974

23418 7590 06/04/2009
VEDDER PRICE P.C.
222 N. LASALLE STREET
CHICAGO, IL 60601

EXAMINER

CHEN, SHIN HON

ART UNIT

PAPER NUMBER

2431

MAIL DATE

DELIVERY MODE

06/04/2009

PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/849,402	Applicant(s) VOICE ET AL.	
	Examiner SHIN-HON CHEN	Art Unit 2431	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 14 May 2009.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-36 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-13, 15-23, 25, 26 and 29-36 is/are rejected.
- 7) ☒ Claim(s) 14, 24, 27, 28 and 31 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 19 May 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>5/14/09</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-36 have been examined.

Information Disclosure Statement

2. The information disclosure statement (IDS) submitted on 5/14/09 is being considered by the examiner.

Continued Examination Under 37 CFR 1.114

3. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on has been entered.

Allowable Subject Matter

4. Claims 14, 24, 27 and 28 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

Claim Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

Art Unit: 2431

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-8, 10-13, 15-23, 25, 26, 31-33 and 35 are rejected under 35 U.S.C. 102(b) as being anticipated by Watts U.S. Pat. No. 5712627 (hereinafter Watts).

7. As per claim 1, Watts discloses a method for providing electronic message authentication comprising:

determining, for a recipient that has been assigned an article, desired sender authentication information that corresponds to sender authentication information that is embodied on the article that has been assigned to the recipient (Watts: column 2 lines 7-15: access to secured system is partially granted if the sender authentication information/identification card is authenticated by matching the randomly generated addressable indicium), and which sender identification information can be located on the article by using location information (Watts: figure 1: the identification card comprises rows and columns as location information to assist user enter corresponding indicium to access resource); and

sending data representing an electronic message and both the location information and the desired sender authentication information for the recipient (Watt: column 2 lines 37-64: the security system prompts user to enter information/electronic message and also provides sender authentication and location information to users).

8. As per claim 2, Watts discloses the method of claim 1. Watts further discloses wherein the location information and the sender authentication information includes electronically

Art Unit: 2431

transmitted data for display on a display device (Watts: column 3 lines 27-33: the location information/randomly specified addressable position is electronically transmitted and displayed to prompt user to enter sender authentication information/printed indicia).

9. As per claim 3, Watts discloses the method of claim 1. Watts further discloses wherein the article issued to the recipient contains sender authentication information that is arranged in rows and columns (Watts: figure 1: the indicia are addressable through rows and columns).

10. As per claim 4, Watts discloses the method of claim 1. Watts further discloses wherein the article issued to the recipient is a transaction card (Watts: column 2 lines 37-41: the transaction card/identification security card allows access to resources).

11. As per claim 5, Watts discloses the method of claim 4. Watts further discloses wherein the sender identification information and location information is affixed to the article (Watts: figure 1: the indicia/sender authentication information and location information/columns and rows are printed on the card).

12. As per claim 6, Watts discloses the method of claim 4. Watts further discloses wherein the sender identification information and location information are on a member that may be attached to the article (Watts: figure 1).

Art Unit: 2431

13. As per claim 7, Watts discloses the method of claim 1. Watts further discloses wherein the sent location information and desired sender identification information is in the form of a visual filtering pattern and wherein the visual filtering pattern directs the recipient to a location on the article containing the sender authentication information (Watts: column 3 lines 27-33 and figure 1: the matrix printed on the identification card is in the form of a visual filtering pattern that requires the user to visually filter for information indicated by the location information).

14. As per claim 8, Watts discloses the method of claim 1. Watts further discloses wherein the sent sender identification information is a pointer that directs the recipient to the sender authentication information (Watts: column 3 lines 29-32: randomly generated addressable position).

15. As per claim 10, Watts discloses the method of claim 1. Watts further discloses wherein the article is an electronic representation of an article (Watts: column 2 lines 37-40: the article can be hardware or software/data).

16. As per claim 11. Watts discloses the method of claim 10. Watts further discloses wherein the electronic representation of the article can be displayed so as to be read by a recipient (Watts: column 2 lines 37-41).

17. As per claim 12, Watts discloses the method of claim 10. Watts further discloses wherein the electronic representation of the article can be accessed by a software application so as to

Art Unit: 2431

provide the recipient with the sender authentication information located at the location identified by the sent location information (Watts: column 3 lines 28-32).

18. As per claim 13, Watts discloses the method of claim 1. Watts further discloses the steps of issuing an article to a recipient wherein the article contains at least: (a) sender authentication information that is identifiable by location information (Watts: figure 1: indicia); (b) location information (Watts: figure 1: column and rows indicators); and (c) an article identifier linked to the recipient (Watts: column 1 lines 16-17: cards typically contain card identification number).

19. As per claim 15, Watts discloses a method for providing electronic message authentication comprising:

associating location information and desired sender authentication information with an electronic message for a recipient, wherein the desired sender authentication information corresponds to sender authentication information at a location specified by the location information on an article that has been allocated to the recipient (Watts: column 2 lines 7-15: access to secured system is partially granted if the sender authentication information/identification card is authenticated by matching the randomly generated addressable indicium); and

sending data representing the electronic message with the associated location information and desired sender authentication information to the recipient to provide sender authentication to the recipient (Watt: column 2 lines 37-64: the security system prompts user to enter

Art Unit: 2431

information/electronic message and also provides sender authentication and location information to users).

20. As per claim 16, Watts discloses the method of claim 15. Watts further discloses wherein the location information is associated with the electronic message by inserting it within the electronic message (Watts: column 3 lines 27-32: the prompt provides location information to user to request authentication information).

21. As per claim 17, Watts discloses the method of claim 15. Watts further discloses wherein the location information is associated with the electronic message by appending to the electronic message (Watts: column 3 lines 27-32).

22. As per claim 18, Watts discloses the method of claim 15. Watts further discloses wherein the location information is associated with the electronic message by pre-pending to the electronic message (Watts: column 3 lines 50-55).

23. As per claim 19, Watts discloses the method of claim 15. Watts further discloses wherein the article allocated to the recipient contains sender authentication information located thereon identifiable by the sent location information (Watts: column 3 lines 27-32).

24. As per claim 20, Watts discloses the method of claim 15. Watts further discloses prior to step of associating, determining, for the recipient that has been allocated the article, desired

Art Unit: 2431

sender authentication information that corresponds to sender authentication information that is on the article, and which desired sender identification information can be located on the article by using location information (Watts: column 3 lines 27-32: determine the desired sender authentication information based on the randomly generated indicia).

25. As per claim 21, Watts discloses a method for providing electronic message authentication comprising:

for at least one recipient of interest, generating data representing at least one of random and pseudo random sender authentication information and linking sender authentication information to corresponding location information (Watts: column 3 lines 27-32: the randomly chosen desired authentication information corresponds to the information indicated by indicia);

storing the sender authentication information and corresponding location information (Watts: figures 1 and column 3 lines 12-32: the system stores the desired authentication information corresponding to the information issued to user);

issuing an article to the recipient of interest wherein the article contains at least:

a) sender authentication information identifiable by location information (Watts: figure 1: authentication information addressed by column and row);

b) an article identifier linked to the recipient (Watts: column 3 lines 12-14: identification card);

determining which of the stored location information and the corresponding sender authentication information to send to a recipient as desired sender authentication information (Watts: column 3 lines 27-29); and

Art Unit: 2431

sending data representing an electronic message and both location information and corresponding desired sender authentication information located at the location identified by the sent location information to the recipient (Watts: column 3 lines 27-32: sending indicia to user to request authentication information).

26. As per claim 22, Watts discloses the method of claim 21. Watts further discloses wherein the location information and corresponding desired sender authentication information includes electronically transmitted data for display on a display device (Watts: column 2 lines 37-40: the security system provides secured access to various electronic devices).

27. As per claim 23, Watts discloses the method of claim 21. Watts further discloses wherein the location information on the article is in the form of rows and column identifiers (Watts: column 3 lines 27-32).

28. As per claim 25, Watts discloses the method of claim 21. Watts further discloses wherein the article is an electronic representation of the article that can be displayed so as to be read by a recipient (Watts: column 2 lines 51-53: indicia selected by the computer system and presented through printed card).

29. As per claim 26, Watts discloses the method of claim 21. Watts further discloses wherein the article is an electronic representation of the article that can be accessed by a software

Art Unit: 2431

application so as to provide the recipient with the sender identification information located at the location identified by the sent location information (Watts: column 2 lines 37-52).

30. As per claim 31, Watts discloses an apparatus for providing electronic message authentication comprising:

a circuit operative to determine, for a recipient that has been assigned an article (Watts: column 3 lines 10-12), desired sender authentication information that corresponds to sender authentication information that is on the article that has been assigned to the recipient, and which sender authentication information can be located on the article by using location information (Watts: figure 1 and column 3 lines 27-32: the information indicated by the indicia); and

a circuit operative to send an electronic message and both the location information and the desired sender authentication information for the recipient (Watts: column 2 lines 37-40: secured access to systems; column 3 lines 27-32: the system prompts user to enter authentication information).

31. As per claim 32, Watts discloses the apparatus of claim 31. Watts further discloses wherein the circuit that is operative to send the electronic message and both the location information and the desired sender authentication information sends the location information in the form of a visual filtering pattern and wherein the visual filtering pattern directs the recipient to a location on the article containing sender authentication information (Watts: figure 1 and column 3 lines 17-32: the visual filtering pattern is in the form of indicium).

Art Unit: 2431

32. As per claim 33, Watts discloses the apparatus of claim 31. Watts further discloses wherein the sent desired sender identification information is a pointer that directs the recipient to the sender authentication information (Watts: column 3 lines 27-32: providing indicium/pointer for user to identify desired authentication information).

33. As per claim 35, Watts discloses the apparatus of claim 31. Watts further discloses a circuit operative to, for at least one recipient of interest, generate data representing at least one of random and pseudo random sender authentication information and linking the sender authentication information to corresponding location information and to store the sender authentication information corresponding location information and to issue an article to the recipient of interest (Watts: column 3 lines 27-32: randomly selecting indicia that correspond to the authentication information) wherein the article contains at least:

- (a) sender authentication information identifiable by location information (Watts: column 3 lines 27-32: the indicium/location information); and

- (b) an article identifier linked to the recipient (Watts: column 3 lines 12-14: identification card); and

wherein the circuit is also operative to determine which of the stored location information and the corresponding expected sender authentication information to send to a recipient (Watts: column 3 lines 27-32: the system randomly selects desired indicium to the user to request information on the card).

Art Unit: 2431

34. Claims 29, 30 and 36 are rejected under 35 U.S.C. 102(b) as being anticipated by Goede U.S. Pat. No. 5246375 (hereinafter Goede).

35. As per claim 29, Watts discloses a transaction card comprising:
transaction card identification information (Goede: column 3 lines 25-29);
sender authentication information identifiable by location information (Goede: column 2 lines 62 - column 3 line 10 and figure 1: the random digit represented in a matrix); and
location information (Goede: column 2 lines 56-61: the location designating symbols).

36. As per claim 30, Watts discloses the transaction card of claim 29. Watts further discloses wherein the sender authentication information and location information is on a member that is secured to the transaction card (Goede: figure 1).

37. As per claim 36, Goede discloses a transaction card comprising: transaction card identification information (Goede: column 3 lines 25-29); sender authentication information identifiable by location information (Goede: column 2 lines 62 - column 3 line 10 and figure 1: the random digit represented in a matrix); a translucent identification member (Goede: column 2 lines 45-47: the substrate may be transparent, frosted, colored or opaque); and location information (Goede: column 2 lines 56-61: the location designating symbols).

Claim Rejections - 35 USC § 103

38. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

39. Claims 9 and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Watts.

40. As per claims 9, Watts discloses the method of determining whether indicia stored by the sender system/card providing side matches the indicia printed on identification card (Watts: column 3 lines 27-33). Watts does not explicitly disclose a pointer that takes the recipient to a web page containing the sender authentication information. However, Watts discloses the secured system could be applied to any communication system and it would have been obvious to one having ordinary skill in the art to incorporate the secured system to web communication as to allow the comparison of indicia to take place following redirection of server to authentication web page.

41. As per claims 34, Watts discloses the apparatus of determining whether indicia stored by the sender system/card providing side matches the indicia printed on identification card (Watts: column 3 lines 27-33). Watts does not explicitly disclose a pointer that takes the recipient to a web page containing the sender authentication information. However, Watts discloses the secured system could be applied to any communication system and it would have been obvious to one having ordinary skill in the art to incorporate the secured system to web communication as

Art Unit: 2431

to allow the comparison of indicia to take place following redirection of server to authentication web page.

Response to Arguments

42. Applicant's arguments filed 11/3/08 have been fully considered but they are not persuasive.

Regarding applicant's remarks, applicant mainly argues that the prior art of record does not disclose sending an electronic message in combination with both the claimed location information and the desired sender authentication information. However, the examiner disagrees. Watts discloses secured access control system that could be embodied in computer system or various network environment (Watts: column 2 lines 38-40) and the system prompts the user (Watt: column 2 lines 37-64: the security system prompts user to enter information; the prompt serves as electronic message) to enter sender authentication by sending the location information (Watts: column 3 lines 27-32: the indicium/location information is provided to the user in the transaction card) and desired sender authentication information (Watts: figure 1 and column 2 lines 50-53: the information embodied in an article/authentication information can be found using indicium/location information on the transaction card).

On the other hand, applicant argues that the prior art of record does not disclose a "transaction card" and "transaction card identification information". However, the term "transaction card" can be broadly interpreted as cards that provides necessary information in any

Art Unit: 2431

process as required in a secured access system. Watts discloses a transaction card in the form of identification card utilized for authentication purposes (Watts: column 3 lines 12-32).

Regarding applicant's remarks on Goede reference, Goede discloses a memory aiding device with substrate that allows a user to locate information that aids the user to remember identification number/PIN. Therefore, the card with substrate is interpreted as a transaction card that allows a user to gain access to a transaction terminal through the use of substrate to identify identification information.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to SHIN-HON CHEN whose telephone number is (571)272-3789. The examiner can normally be reached on Monday through Friday 8:30am to 5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William R. Korzuch can be reached on (571) 272-7589. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2431

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Shin-Hon Chen
Primary Examiner
Art Unit 2431

/Shin-Hon Chen/
Primary Examiner, Art Unit 2431